



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Javier B. ARELLANO et al.

Group Art Unit: 2178

Appl. No. : 10/736,690

Filed: December 17, 2003

For : SYSTEM AND METHODS FOR AN ARCHITECTURAL FRAMEWORK

FOR DESIGN OF AN ADAPTIVE, PERSONALIZED, INTERACTIVE

CONTENT DELIVERY SYSTEM

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98,

Applicants call the following documents to the attention of the Examiner:

U.S. Patent No. 6,405,159 to BUSHEY et al., issued on June 11, 2002;

U.S. Patent No. 4,964,077 to EISEN et al., issued on October 16, 1990;

U.S. Patent No. 5,115,501 to KERR, issued on May 19, 1992;

U.S. Patent No. 5,204,968 to PARTHASARATHI, issued on April 20, 1993;

U.S. Patent No. 5,206,903 to KOHLER et al., issued on April 27, 1993;

U.S. Patent No. 5,263,167 to CONNER, Jr. et al., issued on November 16, 1993;

U.S. Patent No. 5,299,260 to SHAIO, issued on March 29, 1994;

- U.S. Patent No. 5,327,529 to FULTS et al., issued on July 5, 1994;
- U.S. Patent No. 5,335,269 to STEINLICHT, issued on August 2, 1994;
- U.S. Patent No. 5,388,198 to LAYMAN et al., issued on February 7, 1995;
- U.S. Patent No. 5,420,975 to BLADES et al., issued on May 30, 1995;
- U.S. Patent No. 5,495,567 to IIZAWA et al., issued in February 1996;
- U.S. Patent No. 5,519,772 to AKMAN et al., issued on May 21, 1996;
- U.S. Patent No. 5,535,321 to MASSARO et al., issued on July 9, 1996;
- U.S. Patent No. 5,537,470 to LEE, issued on July 16, 1996;
- U.S. Patent No. 5,561,711 to MULLER, issued on October 1, 1996;
- U.S. Patent No. 5,586,060 to KUNO et al., issued in December 1996;
- U.S. Patent No. 5,594,791 to SZLAM et al., issued on January 14, 1997;
- U.S. Patent No. 5,600,781 to ROOT et al., issued on February 4, 1997;
- U.S. Patent No. 5,615,323 to ENGEL et al., issued in March 1997;
- U.S. Patent No. 5,657,383 to GERBER et al., issued on August 12, 1997;
- U.S. Patent No. 5,659,724 to BORGIDA et al., issued in August 1997;
- U.S. Patent No. 5,684,872 to FLOCKHART et al., issued on November 4, 1997;
- U.S. Patent No. 5,710,884 to DEDRICK et al., issued on January 20, 1998;
- U.S. Patent No. 5,727,950 to COOK et al., issued in March 1998;
- U.S. Patent No. 5,806,060 to BORGIDA et al., issued in September 1998;

- U.S. Patent No. 5,848,396 to GERACE, issued in December 1998;
- U.S. Patent No. 5,884,029 to BRUSH, II et al., issued in March 1999;
- U.S. Patent No. 5,991,735 to GERACE, issued in November 1999;
- U.S. Patent No. 6,389,400 to BUSHEY et al., issued on May 14, 2002;
- U.S. Patent No. 5,684,870 to MALONEY et al., issued in November 1997;
- U.S. Patent No. 5,825,869 to BROOKS et al., issued in October 1998;
- U.S. Patent No. 5,903,641 to TONISSON, issued in May 1999;
- U.S. Patent No.5,923,745 to HURD, issued in July 1999;
- U.S. Patent No. 5,953,406 to LARUE et al., issued in September 1999;
- U.S. Patent No. 6,044,355 to CROCKETT et al., issued in March 2000;
- U.S. Patent No. 6,134,530 to BUNTING et al., issued in October 2000;
- U.S. Patent No. 6,163,607 to BOGART et al., issued in December 2000;
- U.S. Patent No. 6,173,053 to BOGART et al., issued in January 2001;
- Kelly, "From Intelligent Call Routing to Intelligent Contact Management," Call Center Solutions, v19, n3, Sep. 2000;
 - "Call Center Roundup," Teleconnect, Dec. 1998;
- "Call Centers: sales, service and competitive advantage," Canadian Business, v70, n2, Feb. 1997;
 - Foster, "Advanced Definity call centers: Working for you and your customers," AT&T

Technology, v9, n2, Summer 1994;

- U.S. Patent No. 4,310,727, to LAWSER, issued on January 12, 1982;
- U.S. Patent No. 4,694,483, to CHEUNG, issued on September 15, 1987;
- U.S. Patent No. 4,922,519, to DAUDELIN, issued on May 1, 1990;
- U.S. Patent No. 5,335,268, to KELLY, JR. et al., issued on August 2, 1994;
- U.S. Patent No. 5,479,488, to LENNIG et al., issued on December 26, 1995;
- U.S. Patent No. 5,500,795, to POWERS et al., issued on March 19, 1996;
- U.S. Patent No. 5,530,744, to CHARALAMBOUS et al., issued on June 25, 1996;
- U.S. Patent No. 5,533,107, to IRWIN et al., issued on July 2, 1996;
- U.S. Patent No. 5,594,791, to SZLAM et al., issued on January 14, 1997;
- U.S. Patent No. 5,675,707, to GORIN et al., issued on October 7, 1997;
- U.S. Patent No. 5,734,709, to DEWITT et al., issued on March 31, 1998;
- U.S. Patent No. 5,758,257, to HERZ et al., issued on May 26, 1998;
- U.S. Patent No. 5,771,276, to WOLF, issued on June 23, 1998;
- U.S. Patent No. 5,808,908, to GHAHRAMANI, issued on September 15, 1998;
- U.S. Patent No. 5,809,282, to COOPER et al., issued on September 15, 1998;
- U.S. Patent No. 5,822,744, to KESEL, issued on October 13, 1998;
- U.S. Patent No. 5,825,856, to PORTER et al., issued on October 20, 1998;
- U.S. Patent No. 5,832,430, to LLEIDA et al., issued on November 3, 1998;

- U.S. Patent No. 5,870,308, to DANGELO et al., issued on February 9, 1999;
- U.S. Patent No. 5,943,416, to GISBY, issued on August 24, 1999;
- U.S. Patent No. 5,821,936 to SHAFFER et al., issued in October, 1998;
- U.S. Patent No. 5,864,605 to KESHAV, issued in January, 1999;
- U.S. Patent No. 6,353,661 to BAILEY, III, issued in March, 2002;
- U.S. Patent No. 4,761,542, to KUBO et al., issued on August 2, 1988;
- U.S. Patent No. 5,586,219, to YUFIK, issued on December 17, 1996;
- U.S. Patent No. 5,668,856, to NISHIMATSU et al., issued on September 16, 1997;
- U.S. Patent No. 5,812,975, to KOMORI et al., issued on September 22, 1998;
- U.S. Patent No. 5,819,221, to KONDO et al., issued on October 6, 1998;
- U.S. Patent No. 5,832,428, to CHOW et al., issued on November 3, 1998;
- U.S. Patent No. 5,793,368 to BEER, issued on August 11, 1998;
- Card, S.K., et al., "The Psychology of Human-Computer Interaction", Hillsdale, NJ: Lawrence Erlbaum (1983);
- Hart, S.G., et al., "Development of the NASA-TLX (Task Load Index): Results of Empirical and Theoretical Research", In P.A. Hancock and N. Meshkati (Eds.), "Human Mental Workload". (pp. 139-183) Amsterdam: North-Holland (1988);
- John, B.E., et al., "Using GOMS for User Interface Design and Evaluation: Which technique?", ACM Transactions on Computer-Human Interaction, 3 (4). 287-319 (1996);

Shingledecker, C.A., "Operator Strategy: A Neglected Variable in Workload Assessment", The American Psychological Association, Division 21 Symposium on Mental Workload Measurement: The Theory Application Interface, Montreal, Quebec, Canada: American Psychological Association (1980);

Wei, Z.G., "Mental Load and Performance at Different Automation Levels", The Netherlands: Delft University. Applicants particularly call the Examiner's attention to pages 28-38 of this document (1997);

Wierwille, W.W., et al., "Recommendations for Mental Workload Measurement in a Test and Evaluation Environment", Human Factors, 35 (2), 263-281 (1993);

- U.S. Patent No. 6,389,538 to GRUSE et al., issued in May, 2002;
- U.S. Patent No. 6,389,403 to DORAK, Jr. et al., issued in May, 2002;
- U.S. Patent No. 5,566,291 to BOULTON et al., issued in October, 1996;
- U.S. Patent No. 6,014,638 to BURGE et al., issued in January, 2002;
- U.S. Patent No. 6,236,990 to GELLER et al., issued in May, 2001;
- U.S. Patent No. 5,740,549 to REILLY et al., issued in April, 1998;
- U.S. Patent No. 5,323,452 to DICKMAN et al., issued in June, 1994;

PCT Application No. PCT/US00/14468, filed on May 26, 2000; which was published on 12/07/00, pub. No. WO 00/73968;

U.S. Patent No. 5,889,992 to IYER et al., issued May 4, 1999;

- U.S. Patent No. 6,564,197 to SAHAMI et al., issued in May, 2003;
- U.S. Patent No. 6,411,687 to BOHACEK et al., issued in June, 2002;
- U.S. Patent No. 6,349,290 to HOROWITZ et al., issued in February, 2002;
- U.S. Patent No.6,330,326 to WHITT, issued in December 2001;
- U.S. Patent No. 6,269,153 to CARPENTER et al., issued in July, 2001;
- U.S. Patent No. 6,212,502 to BALL et al., issued in April, 2001;
- U.S. Patent No. 6,134,315 to GALVIN, issued in October, 2000;
- U.S. Patent No. 5,586,171 to MCALLISTER et al., issued on December, 1996;
- U.S. Patent No. 5,553,119 to MCCALLISTER et al., issued on September 1996;
- U.S. Patent Application Publication No. 2003/0026409 to BUSHEY et al., filed on July 31, 2001, and published on February 06, 2003;
 - U.S. Patent No. 6,061,433 to POLCYN et al., issued on May 09, 2000;
 - U.S. Patent No. 6,058,179 to SHAFFER et al., issued on May 2002;
 - U.S. Patent No. 6,016,336 to HANSON, issued on January 18, 2000;
 - U.S. Patent No. 5,729,600 to BALHA et al., issued on March 17, 1998;

Ameritech Corp., "Ameritech Phone-Based UI Standards: Dialogue Design",

http://www.ameritech.com/corporate/testtown/library/standard/pbix4.html>, 1998;

InterVoiceBrite, Inc., "AgentConnect Call Center Platform Brochure", no date available; International Patent Number WO/ 03/013111, published February 13, 2003 and based on

International Application No. PCT/US02/21304, filed on July 30, 2002;

Applicants also submit a copy of an Office Action from the United Kingdom Patent
Office mailed on February 3, 2004, with respect to United Kingdom Patent Application No. GB
0128396.9, in which the United Kingdom Patent Examiner cited the following documents:

KELLNER A. et al., "PADIS – An automatic telephone switchboard and directory information system", Speech Communication, October 1997;

CARPENTER et al., "Natural Language Call Routing: a Robust, Self-Organizing Approach," Lucent Technologies Bell Laboratories (1998);

"Lucent Technologies announces trial of natural language call routing technology," a press release dated December 3, 1997; and

RICARDI G., et al., "A spoken language system for automated call routing," <u>1997 IEEE</u>

<u>International Conference on Acoustics, Speech, and Signal Processing</u>, AT&T Bell Labs.

The pertinent portions and claims to which each document is relevant, as ascertained by the United Kingdom Examiner applying United Kingdom rules to the United Kingdom claims are set forth in the Office Action.

- U.S. Patent Application Publication No. 2003/0156706 A1 to KOEHLER et al., which was published on August 21, 2003;
 - U.S. Patent No. 5,311,422 to LOFTIN et al., issued on May 10, 1994;
 - U.S. Patent No. 5,757,644 to JORGENSEN et al., issued on May 26, 1998;

- U.S. Patent No. 5,864,844 to JAMES et al., issued on January 26, 1999;
- U.S. Patent No. 6,058,163 to PATTISON et al., issued on May 2, 2000;
- U.S. Patent No. 6,067,538 to ZORBA et al., issued on May 23, 2000;
- U.S. Patent No. 6,099,320 to PAPADOPOULOS, issued on August 8, 2000;
- U.S. Patent No. 6,128,380 to SHAFFER et al., issued on October 3, 2000;
- U.S. Patent No. 6,157,808 to HOLLINGSWORTH, issued on December 5, 2000;
- U.S. Patent No. 6,236,955 to SUMMERS, issued on May 22, 2001;
- U.S. Patent No. 6,282,404 to LINTON, issued on August 28, 2001;
- U.S. Patent No. 6,201,948 to COOK et al., issued on March 13, 2001;
- U.S. Patent Application Publication No. 2003/0143981 A1 to KORTUM et al., which was published on July 31, 2003;
 - U.S. Patent No. 5,706,334 to BALK et al., which issued on January 6, 1998;
 - U.S. Patent No. 5,802,526 to FAWCETT et al., issued on September 1, 1998;
 - U.S. Patent No. 5,999,611 to TATCHELL et al., issued on December 7, 1999;
 - U.S. Patent No. 6,035,336 to LU et al., issued on March 7, 2000;
 - U.S. Patent No. 6,088,429 to GARCIA, issued on July 11, 2000;
 - U.S. Patent No. 6,104,790 to NARAYANASWAMI, issued on August 15, 2000;
 - U.S. Patent No. 6,148,063 to BRENNAN et al., issued on November 14, 2000;
 - U.S. Patent No. 6,170,011 to MACLEOD BECK et al., issued on January 2, 2001;

- U.S. Patent No. 6,263,052 to CRUZE, issued on July 17, 2001;
- U.S. Patent No. 6,295,551 to ROBERTS et al., issued on September 25, 2001;
- U.S. Patent No. 6,332,154 to BECK et al., issued on December 18, 2001;
- U.S. Patent Application Publication No. 2001/0041562 A1 to ELSEY et al., which was published on November 15, 2001;

International Publication No. WO 00/33548 to COHEN et al., (NUANCE COMMUNICATIONS), which was published on June 8, 2000;

"ACD Learning Center Tutorial Series", ACD Call Center Online Learning Center, http://www.call-center.net/ivr-series.htm;

"Customer Management Technology", TeleTech,

http://www.teletech.com/solutions/cmt.htm, printed on December 18, 2001;

"Products & Services - Interactive Voice Response (IVR)" Prairie Systems,

http://www.prairiesys.com/PSI/p_s_interactive_sol.htm;

"RVS Voice", iMessaging Systems, Inc.,

http://www.imessagingsystems.com/imsprods/rvsvoice/rvsvoice.htm;

"What's Next in Interactive Voice Response", International Nortel Networks Meridian Users Group, http://www.innmug.org/information/kirvan.html, which was published in the December, 2000 issue of InnTouch;

U.S. Patent Application No. US/2002/0133394-A1 to BUSHEY et al., which was published on September 19, 2002.

Applicants also call the following documents, which were cited in parent application 09/393,281 (now U.S. Patent No. 6,694,482 to ARELLANO et al., which issued on February 17, 2004) either by the Applicants in an Information Disclosure Statement or by the Examiner, to the attention of the Examiner:

- U.S. Patent No. 6,055,542 to NIELSEN et al., which issued in April, 2000;
- U.S. Patent No. 6,166,732 to MITCHELL et al., which issued in December 2000;
- U.S. Patent No. 6,201,948 to COOK et al., which issued in March 2001;
- U.S. Patent No. 6,448,980 to KUMAR et al., which issued in September 2002;

KOBAYASHI, K., "Information Presentation based on Individual User Interests," 1998, Second International Conference, IEEE, pp. 375-383;

SGOUROS, N., "Dynamic Dramatization of Multimedia Story Presentations", <u>1997</u> ACM, pp. 87-94;

MURTAUGH, M., "The Automatist Storytelling System," 1996 Massachusetts Institute of Technology, Masters Thesis. Applicants note that this document is discussed on page 2 of the above-captioned application;

BROOKS, K. M., "Do Agent Stories Use Rocking Chairs: The Theory and Implementation of One Model for Computational Narrative," Processings of the Fourth ACM

International Multimedia Conference on Intelligent User Interfcaces, ACM Press 1996.

Applicants note that this document is discussed on page 2 of the above-captioned application;

MAYBURY, M., <u>Intelligent Multi-Media Interfaces</u>, AAAI/MIT Press, Cambridge, MA, 1993, Chapter 5: S.K. FIENER et al., "Automating the Generation of Coordinated Multimedia Explanations." Applicants note that this document is discussed on page 3 of the above-captioned application;

SZEKELY, P., "Retrospective and Challenges for Model-Based Reasoning," USC Information Sciences Institute, Marina del Rey, CA, 1996. Applicants note that this document is discussed on page 3 of the above-captioned application;

STANFILL, C., et al., "Toward Memory-Based Reasoning," Communications of the ACM, Vol. 29, NO. 12, ACM Press, December 1986. Applicants note that this document is discussed on page 4 of the above-captioned application;

ORWANT, J., "Doppleganger Goes to School: Machine Learning for User Modeling," MIT MS Thesis September, 1993. Applicants note that this document is discussed on page 5 of the above-captioned application;

ORWANT, J., "For want of a bit the user was lost: Cheap User Modeling," <u>IBM</u>

<u>Systems Journal</u>, Vol. 35, Nos. 3 & 4, pages 398-416, 1996. Applicants note that this document is discussed on page 6 of the above-captioned application;

SHARDANAND, U., "Social Information Filtering for Music Recommendation," MIT

MS Thesis, 1994. Applicants note that this document is discussed on page 6 of the above-captioned application;

MAES, P., "From Animals to Animals 2" Proceedings of the Second International Conference on Simulation of Adaptive Behavior, MIT Media Laboratory 1992, Behavior Based Artificial Intelligence. Applicants note that this document is discussed on page 4 of the above-captioned application;

Further to the U.S. Patent and Trademark Office's decision to waive the requirement under 37 C.F.R. §1.98 (a)(2)(i), copies of the U.S. patents and U.S. Patent Application Publications are not enclosed herewith. However, if any copies are needed, the Examiner is respectfully requested to contact the undersigned.

Applicants respectfully request that the Examiner consider the above materials and cite the documents. All of the documents have been listed on the attached PTO-1449 Form which is also hereto. The Examiner is requested to initial the appropriate spaces on the attached PTO-1449 Form and to return a copy of the Form to the Applicants with the next official communication in the present application to confirm consideration of these documents.

Applicants also call the following co-pending, commonly assigned patent applications to the attention of the Examiner:

U.S.S.N. 09/532,038 to BUSHEY et al., filed on March 21, 2000;

U.S.S.N. 09/578,723 to BUSHEY et al., filed on May 26, 2000;

U.S. Patent No. 09/578,904 to BUSHEY et al., which was filed on May 26, 2000; In accordance with 37 C.F.R. §1.98 (a)(2)(iii), copies of the above-mentioned

applications are attached. However, the Examiner is also requested to review the file wrapper of

the cases at the U.S. Patent and Trademark Office and the references of record, if any, cited

therein.

Applicants note that an Office Action on the merits has not issued in the present

application, and thus no fee is believed necessary to ensure consideration of the submitted

material. However, if an Office Action on the merits has issued and is crossing this statement in

the mail, the undersigned hereby authorizes the Commissioner to charge any fee necessary for the

consideration of this statement, including any payment under 37 C.F.R. §1.17 (p) to Deposit

Account No. 19-0089.

Should the Examiner have any questions, the Examiner is invited to contact the

undersigned at the below-listed telephone number.

Respectfully submitted,

Javier B. ARELLANO et al.

Reg. No. 40,063

Bruce H. Bernstein

Reg. No. 29,627

July 1, 2004

GREENBLUM & BERNSTEIN, P.L.C.

1950 Roland Clarke Place

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FOREIGN PATENT DOCUMENTS

DEDRICK

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

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DATE CONSIDERED

*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449

U.S. Department of Commerce

Patent and Trad

Atty. Docket No. P24306

Application No. 10/736, 690

INFORMATION DISCLOSURE STATEMENT
BY APPLICANT

(Use several sheets if necessary)

Applicant

Javier B. ARELLANO et al

Filing Date
December 17, 2003

Group 2178

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	6	3	8	9	4	0	0	05/14/02	BUSHEY et al					
	5	6	8	4	8	7	0	11/1997	MALONEY et al					
	5	8	2	5	8	6	9	10/1998	BROOKS et al					
	5	9	0	3	6	4	1	05/1999	TONISSON					
	5	9	2	3	7	4	5	07/1999	HURD					
	5	9	5	3	4	0	6	09/1999	LARUE et al					
	6	0	4	4	3	5	5	03/2000	CROCKETT et al					
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FORM PTO-1449

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Atty. Docket No. P24306

Application No. 10/736, 690

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Application No. 10/736, 690

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Filing Date December 17, 2003 Group 2178

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December 17, 2003 2178 **U.S. PATENT DOCUMENTS EXAMINER** FILING DATE INITIAL NAME DOCUMENT NUMBER DATE **CLASS SUBCLASS** IF APPROPRIATE 2002 3 09/19/02 BUSHEY et al 5 5 5 6 0 4 2 04/2000 NIELSEN et al 6 1 6 7 6 3 2 12/2000 MITCHELL et al 6 2 9 4 0 1 8 03/2001 COOK et al 6 8 9 8 0 09/2002 KUMAR et al FOREIGN PATENT DOCUMENTS TRANSLATION DOCUMENT NUMBER DATE COUNTRY **CLASS SUBCLASS** YES NO OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) "Customer Management Technology", TeleTech, http://www.teletech.com/solutions/cmt.htm, printed on December 18, 2001. 1 "Products & Services - Interactive Voice Response (IVR)" Prairie Systems, http://www.prairiesys.com/PSI/p s interactive sol.htm. "RVS Voice", iMessaging Systems, Inc., 2 http://www.imessagingsystems.com/imsprods/rvsvoice/rvsvoice.htm. "What's Next in Interactive Voice Response", International Nortel Networks Meridian Users Group, 2 http://www.innmug.org/information/kirvan.html, which was published in the December, 2000 issue of InnTouch; 2 2 KOBAYASHI, K., "Information Presentation based on Individual User Interests," 1998, Second International Conference, IEEE, pp. 375-383; 2 SGOUROS, N., "Dynamic Dramatization of Multimedia Story Presentations", 1997 ACM, pp. 87-94. 3 2 4 MURTAUGH, M., "The Automatist Storytelling System," 1996 Massachusetts Institute of Technology, Masters Thesis. 2 BROOKS, K. M., "Do Agent Stories Use Rocking Chairs: The Theory and Implementation of One Model for Computational Narrative," Processings of the Fourth ACM International Multimedia Conference on Intelligent User Interfcaces, ACM Press 1996. 2 MAYBURY, M., Intelligent Multi-Media Interfaces, AAAI/MIT Press, Cambridge, MA, 1993, 6 Chapter 5: S.K. FIENER et al., "Automating the Generation of Coordinated Multimedia Explanations." 2 SZEKELY, P., "Retrospective and Challenges for Model-Based Reasoning," USC Information Sciences Institute, Marina del Rey, CA, 1996. STANFILL, C., et al., "Toward Memory-Based Reasoning," Communications of the ACM, Vol. 29, NO. 12, 2 ACM Press, December 1986.

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